



02/02/01

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Thomas A. Rhee

Serial No: Not Assigned

Filed: February 2, 2001

For: REAL LIFE IMPLEMENTATION OF MODERN PORTFOLIO THEORY (MPT)
FOR FINANCIAL PLANNING AND PORTFOLIO MANAGEMENT

Box PATENT APPLICATION

Commissioner for Patents

Washington, D.C. 20231

Dear Sir:

Transmitted herewith for filing is the patent application identified above.

- ☒ 9 sheets of drawings (☒ formal ☐ informal) are enclosed.
- ☒ 30 pages of specification and 1 page of abstract of the invention are enclosed.
- ☒ An assignment of the invention to ☐ is enclosed ☒ will follow.
- ☐ A verified statement to establish small entity status under 37 C.F.R. 1.9 and 1.27 is enclosed.
- ☒ Declaration and Power of Attorney ☒ is enclosed ☐ will follow.
- ☐ A certified copy of ☐ Patent Application No. ☐ filed ☐ from which priority is claimed under 35 U.S.C. § 119 is enclosed.
- ☐ IDS enclosed (☐ with ☐ reference(s)).
- ☐ Preliminary Amendment is enclosed.
- ☒ Return postcard is enclosed.

CALCULATION OF FEES

ITEM	TOTAL NO. OF CLAIMS		NO. OF CLAIMS OVER BASE	LG/SM \$ ENTITY FEE	\$ AMOUNT	\$ FEE
A TOTAL CLAIMS FEE	(35)36	-20	16	LG=\$18 SM=\$9	\$9	\$144
B INDEPENDENT CLAIMS FEE*	2	-3	0	LG=\$80 SM=\$40	\$0	0
C SUBTOTAL - ADDITIONAL CLAIMS FEE (ADD FINAL COLUMN IN LINES A + B)						\$144
D MULTIPLE-DEPENDENT CLAIMS FEE				LARGE ENTITY FEE = \$270 SMALL ENTITY FEE = \$135		\$135
E BASIC FEE				LARGE ENTITY FEE = \$710 SMALL ENTITY FEE = \$355		\$355
F TOTAL FILING FEE (ADD TOTALS FOR LINES C, D, AND E)						\$634
G ASSIGNMENT RECORDING FEE					\$ 40	
*LIST INDEPENDENT CLAIMS 1, 11						

- ☐ Please charge my Deposit Account No. 50-1314 the amount of \$ _____. A copy of this letter is enclosed.
- ☒ A check in the amount of \$ 634.00 to cover the filing fee is enclosed.
- ☐ A check in the amount of \$ ____ to cover Assignment Recordation fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any deficiency for the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-1314. **A copy of this sheet is enclosed.**
- ☒ Any additional filing fees required under 37 C.F.R. 1.16
- ☒ Any patent application processing fees under 37 C.F.R. 1.17
- ☒ The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 50-1314. **A copy of this letter is enclosed.**
- ☒ Any patent application processing fees under 37 C.F.R. 1.17
- ☐ The issue fee set in 37 C.F.R. 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b)
- ☒ Any filing fees under 37 C.F.R. 1.16 for presentation of extra claims
- Please associate this case with the attorneys of record.

Respectfully submitted,
HOGAN & HARTSON L.L.P.

By:

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Date: February 2, 2001

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